



# CMT TRF Customer User Manual

NOVEMBER 2012

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## II. Overview

The Client Management Tool (CMT) is an online web tool that provides the ability to view, create, cancel, and re-submit reports sent to the FINRA/NYSE TRF. You can choose to view reports under a variety of filters and export details to Excel.

## III. Registration

CMT is a Flash (Flex) based application that runs in a web browser via HTTPS. While it is not necessary to download/install any third party software on your local machine, you will need to download the Flash Player plug-in (ver. 10), as well as a browser certificate verifying the email address used for all credentials. The latest Flash plug-in can be obtained at the Adobe Flash website <http://get.adobe.com/flashplayer>. For the certificate, we use Comodo Email Certificate Validation; you will receive an email with a link to access this certificate.

You will use your ArcaVision username and password to login to the CMT. Make sure your ArcaVision username and password are active BEFORE you attempt access to CMT by accessing the ArcaVision site at [www.arcavision.com](http://www.arcavision.com) and login with your username/password. ArcaVision accounts expire after 90 days of inactivity, and because CMT uses your ArcaVision login, you will need to make sure your account does not expire. In the event your account is expired, you will need to have your ArcaVision username and password reset. This can be accomplished at the ArcaVision website

In addition, due to the sensitive nature of the data, you will need to complete a CMT user agreement. If you do not have an active ArcaVision account or do not have the CMT agreement on file, please contact Client Relationship Services or your Relationship Manager.

## IV. Access

Once your CMT documentation is approved, you will receive an email containing your CMT credentials (email certificate validation). If you are new to ArcaVision, you will also receive a separate email with "Welcome to ArcaVision" which contains your username and instruction on creating a password. Getting access to CMT for the first time is a two step process:

1. **ArcaVision** – if you are new to ArcaVision, you will need to access the email sent with instructions on creating a password. Click on the link in the email to go to the password creation page, enter your username and passcode provided in the email, and a password of your choosing (must contain at least ONE upper case letter and ONE number).

You may test your username password by logging in to ArcaVision at [www.arcavision.com](http://www.arcavision.com)

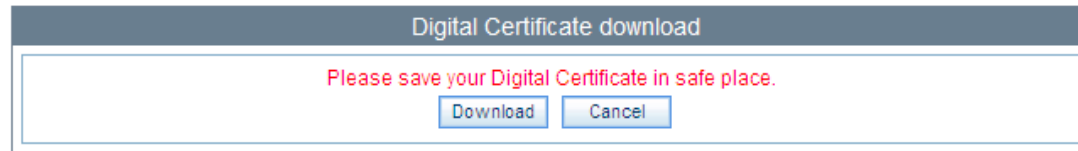
2. **Comodo Email Certificate Validation** – you will receive an email invitation which contains a link to download the browser certificate which validates your email address.
  - a. Click on the link in the email which opens your default browser and will access the Certificate Manager on the Comodo website



Proceed Invitation

Code: *	<input type="text" value="inwEyzY3fWIUcP4Nol1CIHgio"/>
E-Mail: *	<input type="text" value="smurphy@nyx.com"/>
PIN (7 characters max):	<input type="text"/>
PIN repeat:	<input type="text"/>
PassPhrase: *	<input type="text"/>
repeat PassPhrase: *	<input type="text"/>

- b. You will be required to enter a PIN and Passphrase.  
Enter PIN (7 character max) and re-enter to confirm. The PIN is a secure password that you will use to install the certificate to the browser
- c. Enter passphrase and re-enter to confirm. The Passphrase is meant to be a hint to your PIN (may be used to help you remember a forgotten PIN)
- d. Click "submit"
- e. The "Digital Certificate download screen appears; click on "Download".



1. Save certificate to the default location specified by your computer. Take note of the file location of the certificate

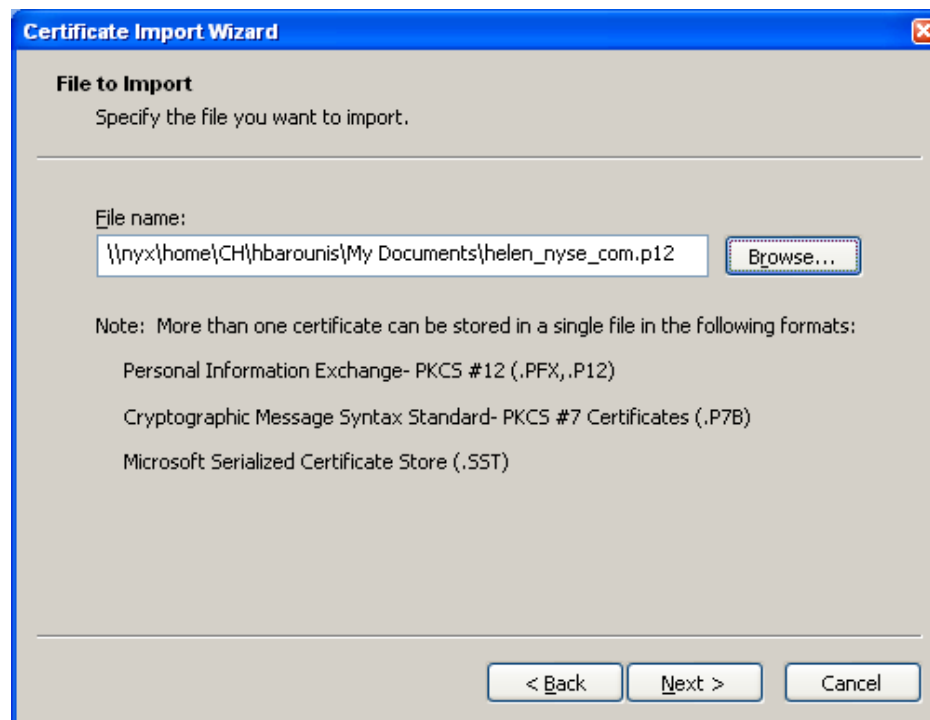
- **Install certificate into Browser**

You will need to install this certificate in the browser located on the computer you will use to access the CMT. This will allow you *and only you* to access your firm's order and execution data. You will only need to install the certificate once; after that, the browser will be certified and you can directly access the Client Management tool.

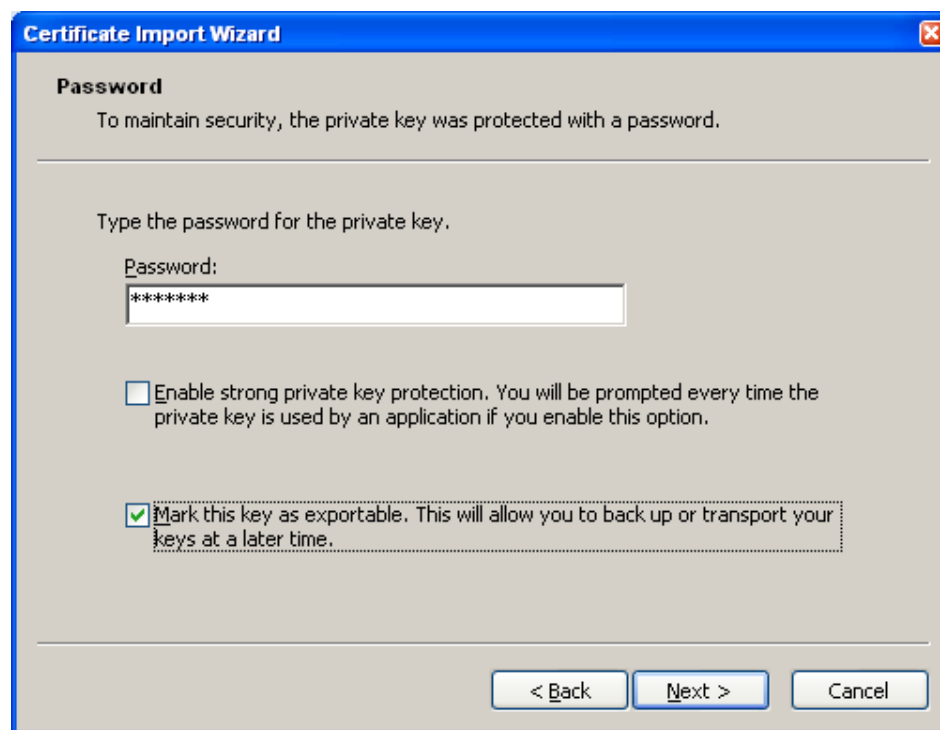
#### Internet Explorer

1. Locate the Digital Certificate you downloaded and double-click the filename. This will initiate the Certificate Import Wizard. Click "Next"
2. Pop up screen requesting you specify the file to import will appear and will already contain the name of the certificate. Click "Next" to continue.





3. You will need to enter in the PIN number you setup earlier when downloading from the Comodo site. Also, check the box "Mark this key as exportable" – this will allow you to back up the key if needed. Click "Next"



**Certificate Import Wizard**

**Password**

To maintain security, the private key was protected with a password.

Type the password for the private key.

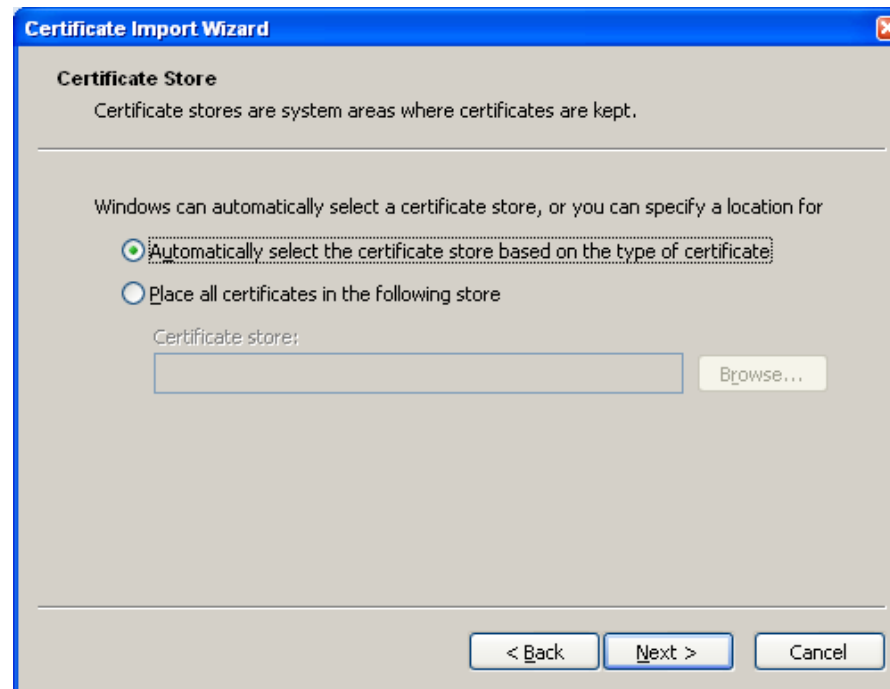
Password:  
\*\*\*\*\*

☐ Enable strong private key protection. You will be prompted every time the private key is used by an application if you enable this option.

☒ Mark this key as exportable. This will allow you to back up or transport your keys at a later time.

< Back   Next >   Cancel

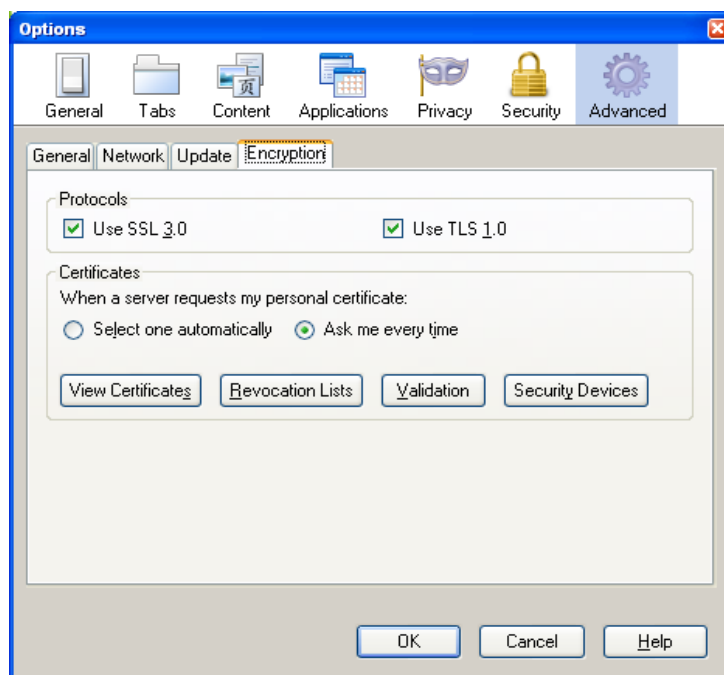
4. Allow the system to select where to store the certificate by choosing "Automatically select", and click "Next"



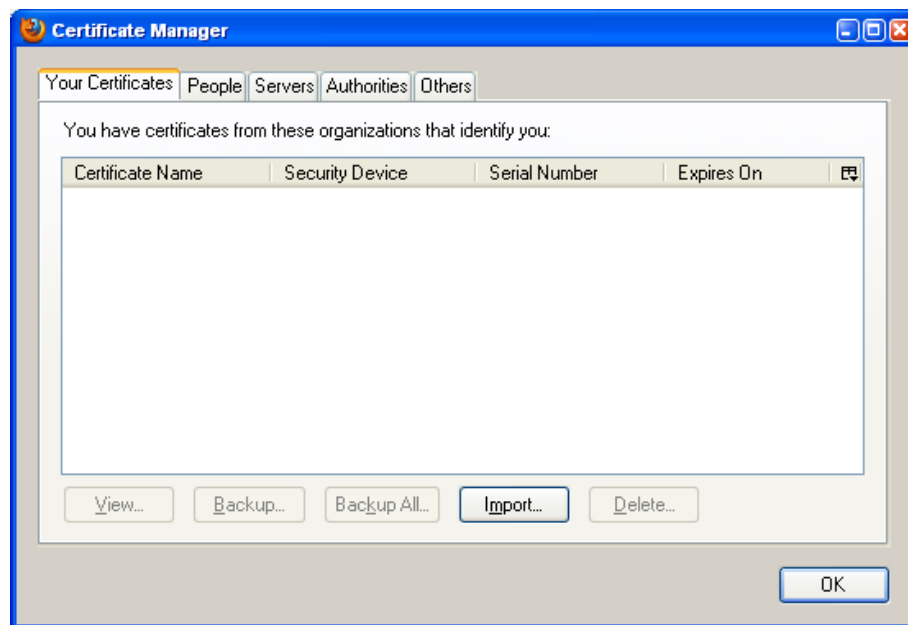
5. You will receive a pop-up that you have completed the import of the certificate. Click "Finish" to exit from the Import Wizard. If an additional pop-up confirmation appears, click "OK".

### Mozilla Firefox

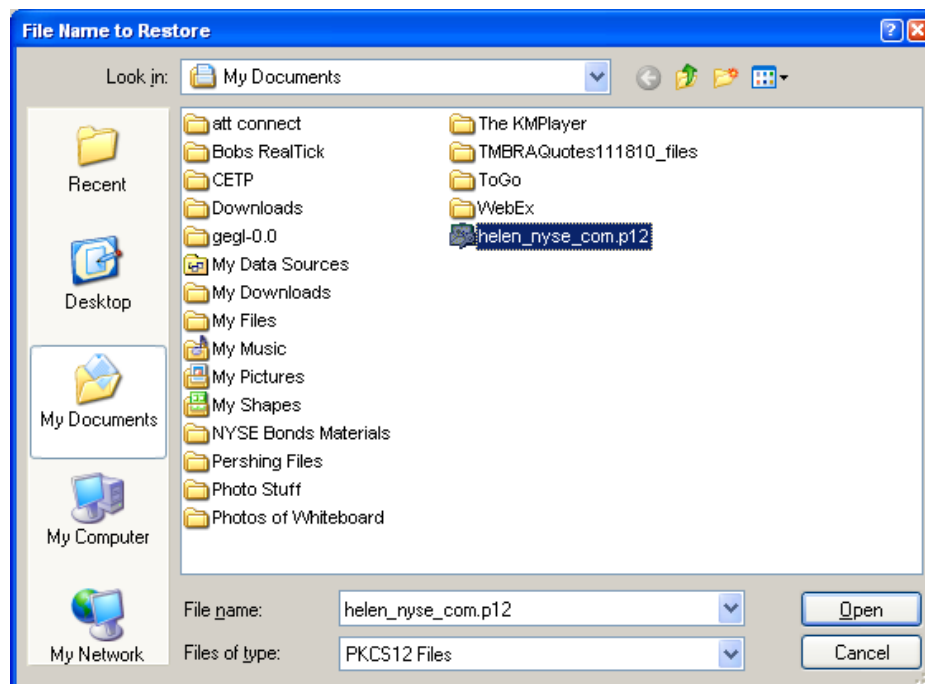
1. Go to "Tools" → Options → Advanced. Select the "Encryption" tab and click on "View Certificates"



2. Select the "Your Certificates" tab and click on the "Import" button"



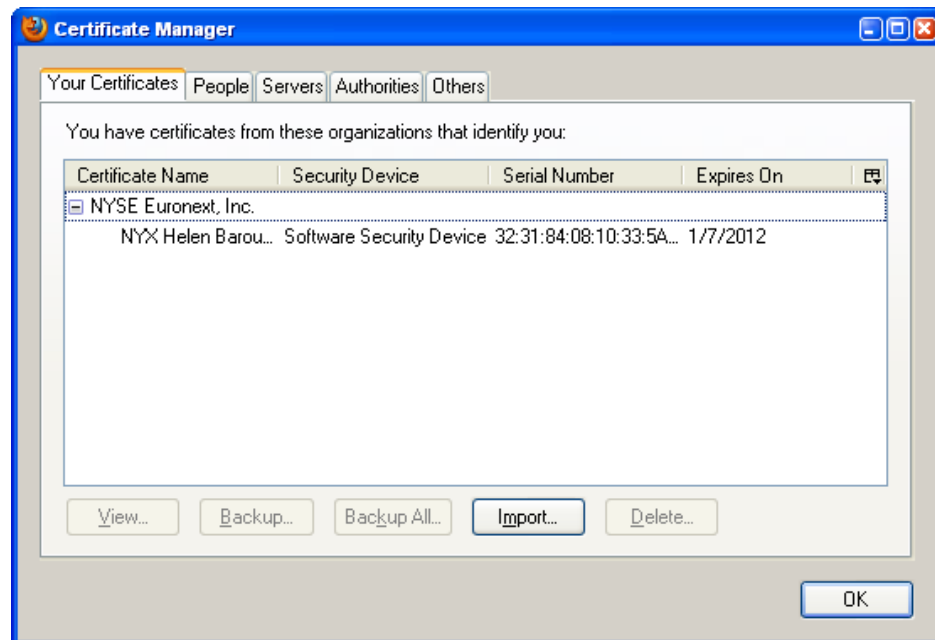
3. The "File to Restore" pop up will appear – locate the Digital Certificate you downloaded, select the file and click "Open"



4. You will need to enter in the PIN number you setup earlier when downloading from the Comodo site. Enter the PIN and click "OK"



5. You will receive a pop-up that you have successfully restored your certificate. Click OK
6. The Certificate Manager will display the certificate in the pop up screen. Click OK to exit



You are now ready to access the Client Management Tool!

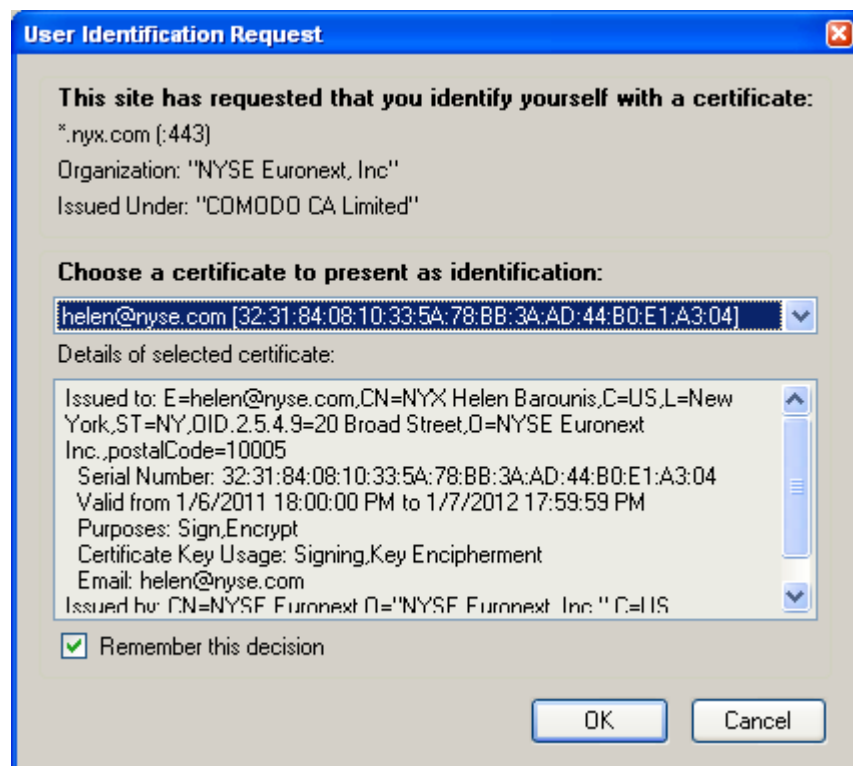
## **V. Client Management Tool**

To login to CMT for TRF, go to <https://cmttool.nyx.com>

The FIRST time you log in to the site, you may encounter messages affirming your security certificate; simply click "OK" to continue on to the CMT login screen. Affirmation screens may look like the following:

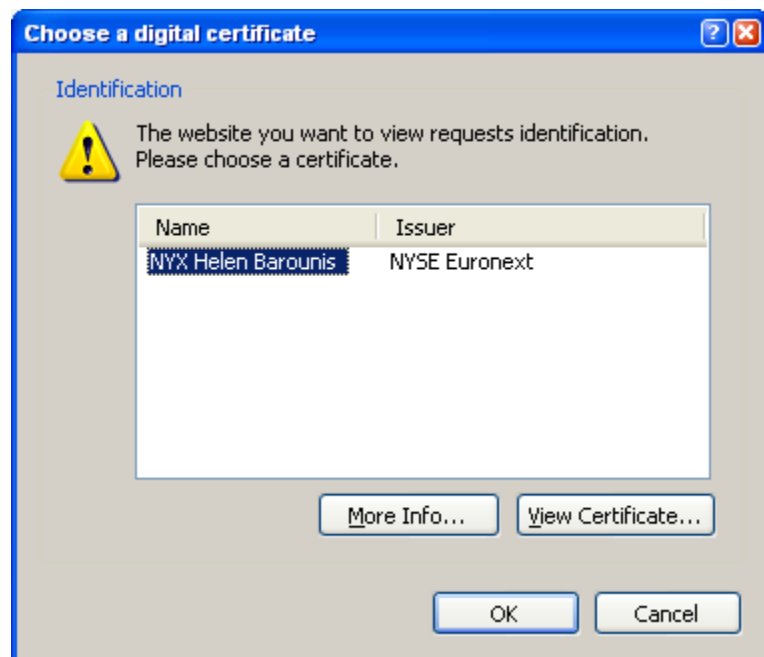
Internet Explorer





OR

Firefox



If you attempt to access CMT without having downloaded or establishing your certificate, you will get an error message, either not acknowledging the website, or denying you access:



## Secure Connection Failed

An error occurred during a connection to cmttool.nyx.com.

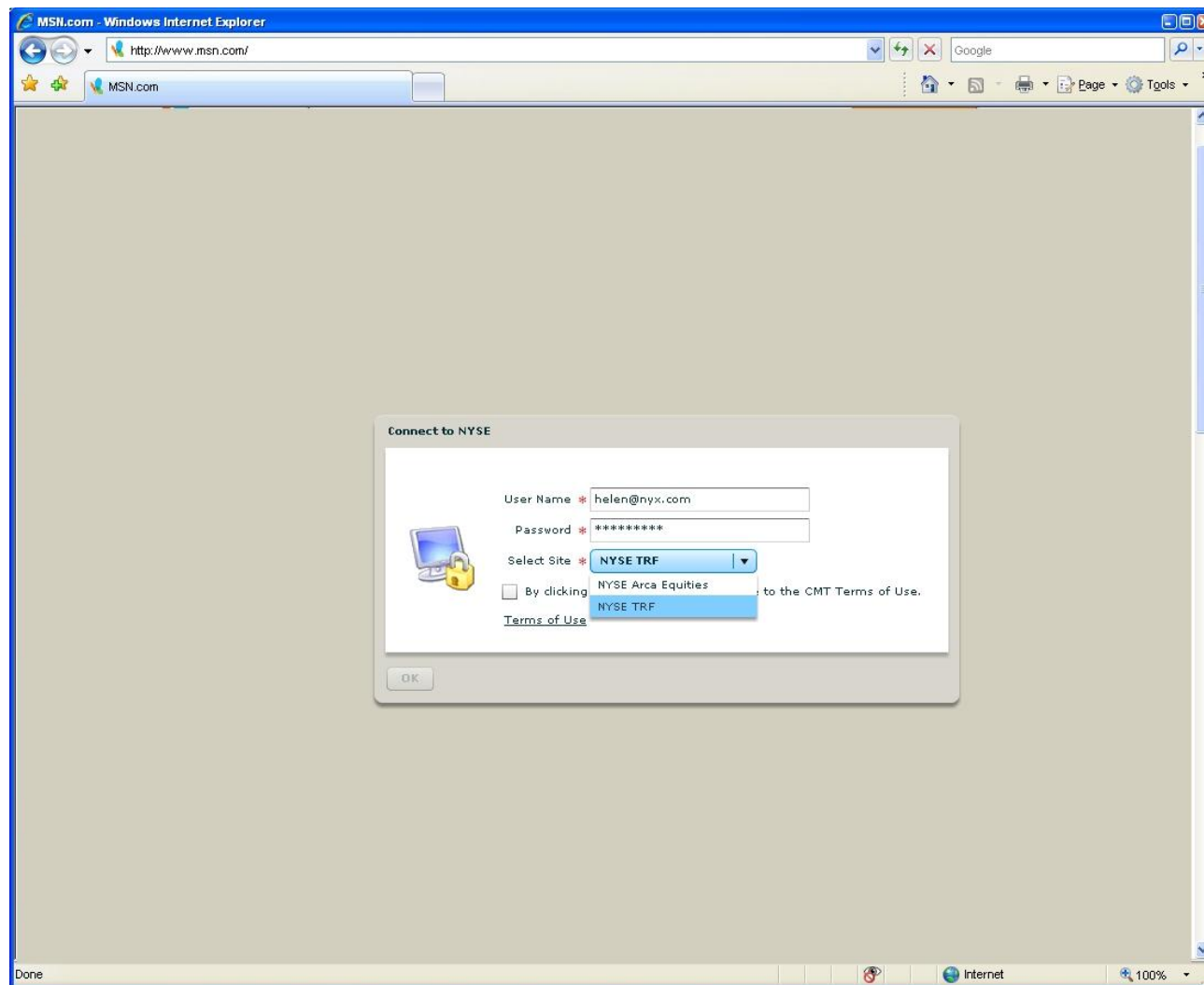
SSL peer was unable to negotiate an acceptable set of security parameters.

(Error code: ssl\_error\_handshake\_failure\_alert)

- The page you are trying to view can not be shown because the authenticity of the received data could not be verified.
- Please contact the web site owners to inform them of this problem.  
Alternatively, use the command found in the help menu to report this broken site.

Try Again

If the certificate is installed properly, you will get the login screen. Please login using your ArcaVision username and password.



[illegible]

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## A. Report Fields

<b>Rep Firm</b> <input type="text" value="ABCD"/>	<b>Status</b> <input type="text" value="Any"/> <ul style="list-style-type: none"> <li>Any</li> <li>Fill</li> <li>Bust</li> <li>Adj</li> <li>All Revisions Submitted</li> </ul>
Your 4-Letter FINRA/NYSE TRF MPID	Status reports based on current status.
<b>Branch Seq</b> <input type="text" value="OATS12345"/>	<b>Contra Branch Seq</b> <input type="text"/>
OATS id	Contra OATS id

**Trade Report Class** ▼

- As-Of
- Reversal
- Standard

Search for special report classes.

**Tape** ▼

- Yes
- No
- NASDAQ
- NYSE
- AMEX

Filter Publish Indicator

**Short Sale** ▼

- Contra Short
- Contra Short Exe
- Dealer Short
- Dealer Short Exe
- Selling Short

Short Sale Reasons

**Exec Time** 09 : 30 : 00 to 15 : 59 : 59 **Report Time** 00 : 00 : 00 to 23 : 59 : 59

View reports by execution time or by acknowledgment of FINRA/NYSE TRF.

**Symbol** ABC **Price** 25.35 **Volume** 95000 **Side** Buy ▼

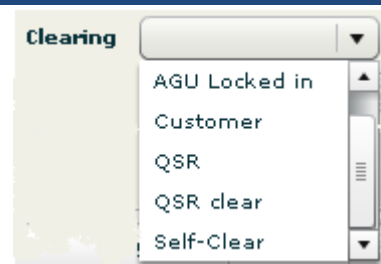
Search by basic report details.

**OnBehalf** NYSETRF-N

View reports by your TRF FIX connection ID

**Contra** DEFG

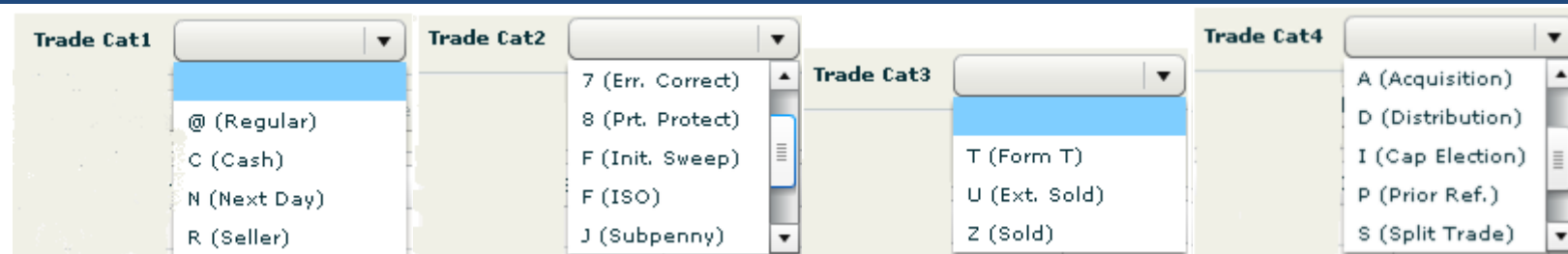
Find reports by specific contra parties



View by Clearing arrangement



View by capacity (Own or Contra)



View by Trade Categories:



## B. Reports Grid

The Reports grid provides the results of your customized query, exportable into an Excel spreadsheet at the click of a button.

Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Status	Price	Rep Firm	Contra	OnBehalf
04/19/11	12:50:30.693	12:48:00.000	S	MSFT	Buy		120	Fill	25.00	ABCD	WXYZ	ABCD-CMT
04/19/11	12:49:51.224	12:48:00.000	S	MSFT	Buy		100	Fill	25.00	ABCD	WXYZ	ABCD-CMT

Sender	ClOrderID	Branch Seq	Clearing	Clearing 2	ClearNumb	OwnerCat	Contra Cat	Owner Cat 2	Contra Cat 2	R
#CMT		OATS9999	QSR		12345	Client	Client			\$
#CMT		OATS9999	QSR		12345	Client	Client			\$



Page 1



 Export to Excel

Record 1 - 2

Refresh the grid, page through, or export your results to an Excel spreadsheet

### C. Excel Report Output

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	RepFirm	Contra	OnBehalf	Sender	ClOrdID	BranchSeq	ContraBr
2	Fill	07/27/11	11:35:11.443	20:20:00.000	N	IBM	Buy		501	30	ABCD	WXYZ	ABCD-CMT	#CMT		REGQ_CORRECT	
3	Fill	07/27/11	11:27:16.744	20:20:00.000	N	IBM	Buy		501	30	ABCD	WXYZ	ABCD-CMT	#CMT		REGQ_CORRECT	
4	Fill	07/28/11	11:26:25.388	10:20:03.000	S	IBM	Buy		501	30	ABCD	WXYZ	ABCD-CMT	#CMT		RegQ_correct	RegQ_cor
5	#END OF FILE: Total 3 Record(s)																

## VII. Create Report Screen:

Create new TRF reports or modify and resubmit TRF rejects from this screen.

The screenshot displays the 'Create Report' screen within the NYSE Euronext Client Management Tool - TRF. The interface features a top navigation bar with the tool's name and user options like 'Log Off' and 'Change Password...'. Below this is a tabbed menu with options: 'Reports (Current Day)', 'EOD Trade Report Chronicles', 'As-Of Repairs/Reversals', 'TRF Rejected Reports', 'FINRA Rejected Reports', 'Create Report' (selected), 'Bulk Bust', and 'Summary Dashboard'. The main content area is titled 'Create Report' and is divided into two sections: 'Trade Info' and 'Post Trade Info'. The 'Trade Info' section includes fields for 'Report Class', 'Symbol', 'Rep Firm', 'TT Exempt', 'Side', 'Size', 'Contra', 'Trade Type Cat 1', 'Short Sale Reason', 'Price', 'Execution Date' (set to 20121031), 'Trade Type Cat 3', 'Tape', 'Price Override', and 'Execution Time (ET)'. The 'Post Trade Info' section includes fields for 'Branch Seq', 'Contra Branch Seq', 'Capacity Own', 'Capacity Contra', 'Clearing Indicator', 'Own Clearing #', and 'Contra Clearing #'. At the bottom of the form are three buttons: 'Submit', 'Cancel/Clear', and 'Show Additional'.

The Create Report entry screen is divided into two categories: Trade Info and Post Trade Info.

**Create Report**

**Trade Info**

Report Class: As-Of  
Symbol: XYZ  
Rep Firm: ABCD  
TT Exempt: Yes  
Side: Buy  
Size: 100  
Contra: WXYZ  
InterMarket Trade: No  
Short Sale Reason:  
Price: 34.00  
Execution Date: 20110725  
Trade Type Cat 1: @ (Regular)  
Tape: No  
Price Override: No  
Execution Time (ET): 12:00:00  
Trade Type Cat 3:

**Post Trade Info**

Branch Seq: OATS 1234  
Contra Branch Seq:  
Clearing Indicator: QSR clear  
Own Clearing #: 12345  
Capacity Own: Agency  
Capacity Contra: Agency

Submit Cancel/Clear Show Additional

The options for each field mirror those found on the Reports search page.

#### A. Show Additional

The most commonly used fields are available at first glance. However, more specialized reports are facilitated by clicking the “Show Additional” button at the bottom of the report entry screen:

Submit Cancel/Clear Show Additional

Additional fields will appear below “Post Trade Info”, with the option to re-hide, by clicking on “Hide Additional”.

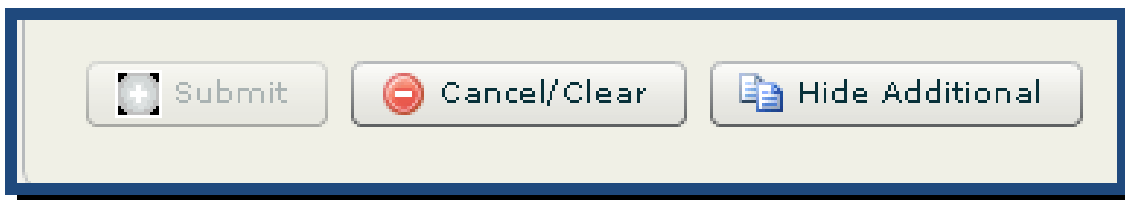
The screenshot shows the 'Additional Details' section of a form. It contains several input fields: 'Trade Type Cat 2' (a dropdown menu), 'Trade Type Cat 4' (a dropdown menu), 'Exec Firm' (a text box), and 'Give Up Contra' (a text box). Below these is a 'Settlement Date' field with a calendar icon. At the bottom are three buttons: 'Submit' (with a magnifying glass icon), 'Cancel/Clear' (with a red circle and minus icon), and 'Hide Additional' (with a document icon).

## B. Submit

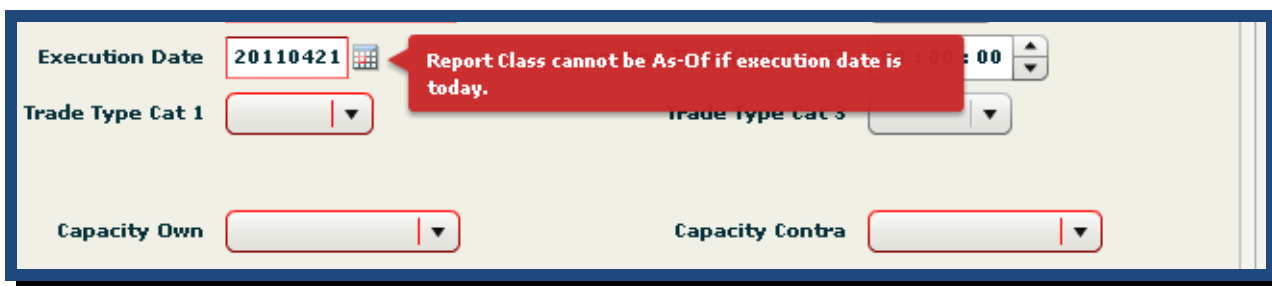
The Submit button will remain “lit-up” unless your Created report does not conform to certain reporting guidelines.


Example: Customer enters Standard report with a prior Execution Date. Result: Submit button becomes inoperable.

The screenshot shows the 'Create Report' form. It is divided into two main sections: 'Trade Info' and 'Post Trade Info'. The 'Trade Info' section includes fields for 'Report Class' (set to 'As-Of'), 'Side' (dropdown), 'Short Sale Reason' (dropdown), 'Tape' (dropdown), 'Symbol' (text box), 'Size' (text box), 'Price' (text box), 'Price Override' (dropdown), 'Rep Firm' (dropdown), 'Contra' (text box), 'Execution Date' (calendar icon, showing '20110421'), 'TT Exempt' (dropdown), 'InterMarket Trade' (dropdown), 'Trade Type Cat 1' (dropdown), and 'Trade Type Cat 3' (dropdown). The 'Post Trade Info' section includes 'Branch Seq' (text box), 'Contra Branch Seq' (text box), 'Capacity Own' (dropdown), 'Capacity Contra' (dropdown), 'Clearing Indicator' (dropdown), and 'Own Clearing #' (text box). At the bottom are three buttons: 'Submit' (with a magnifying glass icon), 'Cancel/Clear' (with a red circle and minus icon), and 'Show Additional' (with a document icon). A red error message box is overlaid on the 'Execution Date' field, stating: 'Report Class cannot be As-Of if execution date is today.'



Submit Cancel/Clear Hide Additional



Execution Date 20110421  Report Class cannot be As-Of if execution date is today. 00:00

Trade Type Cat 1 Trade Type Cat 2

Capacity Own Capacity Contra

### C. Submission Confirmation

After creating your report and submitting, a pop-up confirmation will indicate if preliminary logic has been satisfied:



This however, is not a confirmation that your manual report has been accepted as a “good” report by the engine. The “Create report sent” message window only confirms that the report has been successfully presented to the reporting engine. After submitting your report, customers are advised to consult the “TRF Rejected Reports” screen, to verify that your message did not fail additional validations made by the reporting engine.

If there is no report here, you can also check the Reports page to confirm successful processing

## VIII. Engine Rejected Reports

Reports can be rejected by the reporting engine for a variety of reasons. If you find that either a CMT Created Report, or an existing Report sent through your FIX connection to the TRF ends up on the "TRF Rejected Reports" tab, the following is true:



1. Your reports has not been presented to either SIAC or SIP.
2. Your report has not been presented to Finra for audit trail purposes.

These reports, instead, have been stopped at the engine gateway (GW), and thus requires the customer to correct any unacceptable tags or details before attempting to resubmit.

In the highlighted example below, a report in AAPL was rejected by the TRF engine with the error “Sold out of Seq not applicable”

Rep Firm: ABCD

Exec Time (range): 00 : 00 : 00 to 23 : 59 : 59

Contra:

Symbol:

Price:

Volume:

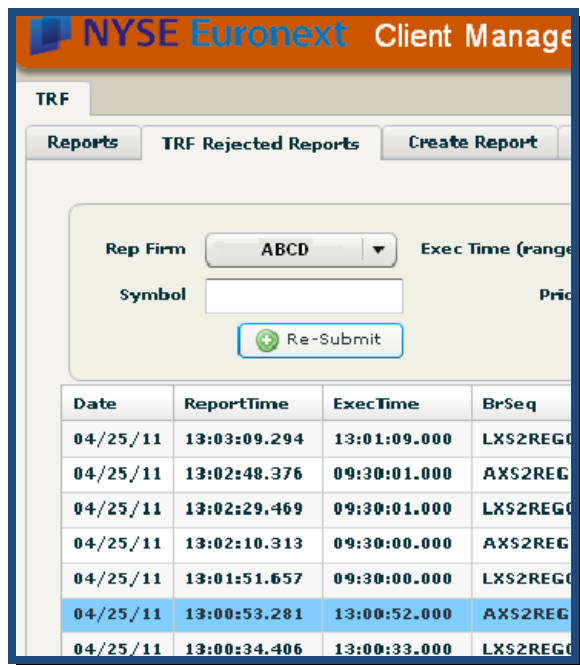
+ Re-Submit

- Clear

🔍 Search

Date	ReportTime	ExecTime	BrSeq	OnBehalfOf	Symbol	Volume	Price	ClOrderID	Contra	RepFirm	Tape	Reject Reason
04/25/11	13:03:09.294	13:01:09.000	LXS2REG03	CL01	HVT	3900	39	130305:0342969:(	WXYZ	ABCD	\$	U=Extended Hours has invalid execution ti
04/25/11	13:02:48.376	09:30:01.000	AXS2REG03	CL01	AAPL	3800	38	130244:0342968:(	WXYZ	ABCD	\$	U=Extended Hours has invalid execution ti
04/25/11	13:02:29.469	09:30:01.000	LXS2REG03	CL01	HVT	3800	38	130225:0342967:(	WXYZ	ABCD	\$	U=Extended Hours has invalid execution ti
04/25/11	13:02:10.313	09:30:00.000	AXS2REG03	CL01	AAPL	3700	37	130206:0342966:(	WXYZ	ABCD	\$	U=Extended Hours can not be Prior Refere
04/25/11	13:01:51.657	09:30:00.000	LXS2REG03	CL01	HVT	3700	37	130147:0342965:(	WXYZ	ABCD	\$	U=Extended Hours can not be Prior Refere
04/25/11	13:00:53.281	13:00:52.000	AXS2REG03	CL01	AAPL	3500	35	130049:0342962:(	WXYZ	ABCD	\$	Sold Out of Seq not applicable
04/25/11	13:00:34.406	13:00:33.000	LXS2REG03	CL01	HVT	3500	35	130030:0342961:(	WXYZ	ABCD	\$	Sold Out of Seq not applicable

Click on the “Re-Submit” button after highlighting your rejected report:



NYSE Euronext Client Manager

TRF

Reports TRF Rejected Reports Create Report

Rep Firm: ABCD Exec Time (range)

Symbol: Re-Submit

Date	ReportTime	ExecTime	BrSeq
04/25/11	13:03:09.294	13:01:09.000	LXS2REG0
04/25/11	13:02:48.376	09:30:01.000	AXS2REG
04/25/11	13:02:29.469	09:30:01.000	LXS2REG0
04/25/11	13:02:10.313	09:30:00.000	AXS2REG
04/25/11	13:01:51.657	09:30:00.000	LXS2REG0
04/25/11	13:00:53.281	13:00:52.000	AXS2REG
04/25/11	13:00:34.406	13:00:33.000	LXS2REG0

After clicking Re-Submit, you will be taken to the “Create Report” page, which will be pre-populated with the details of your rejected report.

**Create Report**

**Trade Info**

Report Class: Standard  
Symbol: AAPL  
Rep Firm: ABCD  
TT Exempt: No  
Side: Buy  
Size: 3500  
Contra: WXYZ  
InterMarket Trade: No  
Short Sale Reason: Dealer Short  
Price: 35  
Execution Date: 20110425  
Trade Type Cat 1: REGL  
Tape: TRF Print  
Price Override: No  
Execution Time (UTC/GMT): 00:00:52  
Trade Type Cat 3:

**Post Trade Info**

Branch Seq: AXS2REG035U  
Contra Branch Seq:  
Capacity Own: Market Maker  
Capacity Contra: Client  
Clearing Indicator: Self-Clear  
Own Clearing #:

Submit Cancel/Clear Show Additional

Make the necessary change, as per the Reject message:

Trade Cat3

- T (Form T)
- U (Ext. Sold)
- Z (Sold)

And click Submit:

Submit

After receiving the submission confirm pop-up, check the Reports or the TRF Engine Rejects tab again to ensure that the proper correction was made.

## IX. Finra Rejected Reports

A trade report accepted by the TRF engine may not necessarily be accepted by Finra for audit trail reporting purposes. These rejects will populate the “Finra Rejects” tab on your CMT screen.

The following is true regarding Finra rejects:

- 1) If Tape was designated “Yes”, the report has already been sent to SIP or SIAC for processing to the tape.
- 2) The Finra audit trail obligation(s) regarding both the tape and non-tape (if applicable) related reports remains to be fulfilled.

Contrary to Engine Rejects, Finra Rejected Reports are not fix-able on the CMT. The NYSE TRF Operations group will fix and re-submit these reports on your behalf, presuming there are no extenuating circumstances with Finra or the customer which may prevent re-submission. In such case, a member of TRF Operations will contact you to determine the best course of action to ensure you are meeting your reporting obligation.

Rep Firm

Exec Time (range)  to

Contra

Symbol

Price

Volume

Date	ReportTime	ExecTime	BrSeq	OnBehalfOf	Symbol	Volume	Price	ClOrderID	Contra	RepFirm	Tape	Reject Reason
	15:00:32.84718		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:03:45.23407		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:04:36.58046		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:15:45.41643		12345		IBM	600	200.01					J-Finra test reject: volume > 500

## X. Fixing Reports

Visit the Reports page and highlight the individual report you wish to correct.

The screenshot shows the 'Fixing Reports' interface. At the top, there is a form with various filters and controls. Below the form is a table of reports.

**Form Fields:**

- Rep Firm: ABCD
- Status: Any
- Branch Seq:
- Contra Branch Seq:
- Symbol:
- Price:
- Volume:
- Side:
- Trade Report Class:
- Tape:
- Price Override:
- Short Sale:
- Exec Time: 00:00:00 to 23:59:59
- Report Time: 00:00:00 to 23:59:59
- OnBehalf:
- Report Origin:
- Contra:
- Clearing:
- Capacity Own:
- Capacity Contra:
- Trade Cat1:
- Trade Cat2:
- Trade Cat3:
- Trade Cat4:

**Buttons:** Fix Selected, Bust Selected, Clear, Search

**Table:**

Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra	OnBehalf	Sender	ClOrderID	Branch Seq	Clearing
Fill	04/25/11	12:49:34.417	12:49:33.000	TRF Print	AAPL	Buy	Dealer Short	1700	17	ABCD	WXYZ	CL01	#TRF1	124930:0342	AXS2REG01	QSR
Fill	04/25/11	12:49:15.166	12:49:14.000	TRF Print	HVT	Buy	Dealer Short	1700	17	ABCD	WXYZ	CL01	#TRF1	124913:0342	LXS2REG017	QSR
Fill	04/25/11	12:45:49.026	12:45:47.000	TRF Print	AAPL	Buy	Dealer Short	1100	11	ABCD	WXYZ	CL01	#TRF1	124545:0342	AXS2REG01	Self-Cle:

### A. Fix Selected

After you have selected your report, click on "Fix Selected" (the button will remain un-lit until you select a report).



## B. Modify Report

You will now see a “Modify Report” screen pop up, with your report information at the top under “Trade Info”.

Below that, under “Update”, you will find several pre-populated fields which you can edit and re-submit. After you’ve modified the appropriate detail(s), submit the modified report and return to the Reports tab to verify.

**Modify Report**

**Trade Info**

Symbol: **AAI** Original Shares: **10** Original Price: **100**  
Original Contra: **ABCD** Original Clearing Indicator: **OSR clear** Original Capacity Own: **Agency**  
Original Capacity Contra: Original Short Sale Reason: Side: **Buy**  
Branch Seq: **12345** On Behalf Of: CI Order ID:  
Time: **20:00:00.000**

**Update**

Shares: **10** Price: **100**  
Contra: **ABCD** Clearing Indicator: **OSR clear**  
Execution Date: **07/25/11** Execution Time: **20:00:00**  
Capacity Own: **Agency** Capacity Contra:  
Short Sale Reason: Side: **Buy**  
Trade Type Cat 1: **@ (Regular)** Trade Type Cat 2:  
Trade Type Cat 3: Trade Type Cat 4:

**Submit** **Cancel**

The Reports page will show two reports when you conduct a search using a common identifier on both reports, e.g. Branch Seq.

Trade Cat1  Trade Cat2  Trade Cat3

 Fix Selected

 Bust Selected

Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra
Fill	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Contra Short	100	166	ABCD	WXYZ
Adj	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Contra Short	100	165	ABCD	WXYZ
Fill	04/21/11	10:43:26.775	08:00:28.000	Clear Only	IBM	Buy	Selling Short	1120	12.5	ABCD	WXYZ

The original report will be re-displayed with Status "Adj"

Fill	04/19/11	17:10:12.92
Adj	04/19/11	17:10:12.92
Fill	04/21/11	10:43:26.77

The corrected report will be displayed with Status "Fill"

Status	Date	Reported
Fill	04/19/11	17:10:12.92

\*\*\*PLEASE NOTE THAT CORRECTED TRADE REPORTS ARE PRESENTED TO FINRA AUDIT TRAIL AS A CANCEL-AND-NEW TRADE\*\*\*

## Modified Report Behavior

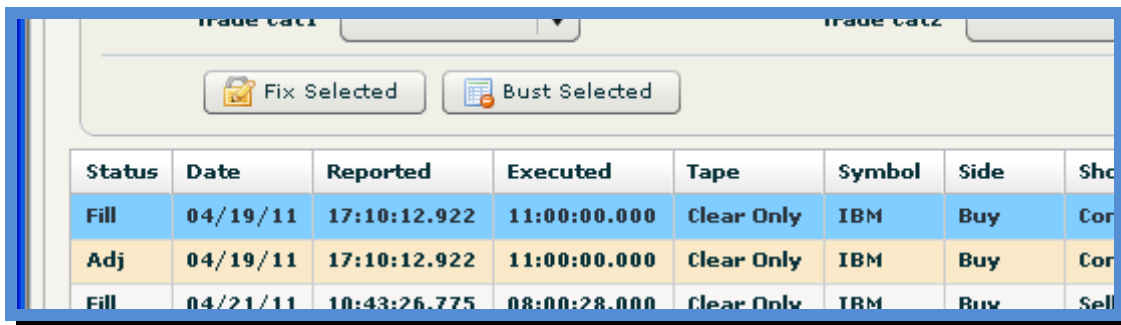
Modified reports are presented to Tape (where applicable), Audit, and DTCC (where applicable).

		Modified Field										
Same Day Result		Clearing	Shares	Price	Contra	ExecDate	ExecTime	Cap Own	Cap Contra	Short Reason	Side	Trade Cats 1-4
QSR/Customer/Self												
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
QSR N												
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
Tape	DTCC	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
AGU Lock-In												
Tape	Audit	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
Tape	DTCC	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
As Of Result												
QSR/Customer/Self												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
QSR N												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
Tape	DTCC (T+1 only)	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
AGU Lock-In												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
Tape	DTCC (T+1 only)	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report



## XI. Busting Reports

When busting an individual report, simply highlight the report in question and click "Bust Selected".



The screenshot shows a software interface with two buttons at the top: "Fix Selected" (with a checkmark icon) and "Bust Selected" (with a trash can icon). Below the buttons is a table with the following data:

Status	Date	Reported	Executed	Tape	Symbol	Side	Sho
Fill	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Cor
Adj	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Cor
Fill	04/21/11	10:43:26.775	08:00:28.000	Clear Only	IBM	Buy	Sell

### A. Bust Confirmation

A confirmation screen will pop up before completing the action:



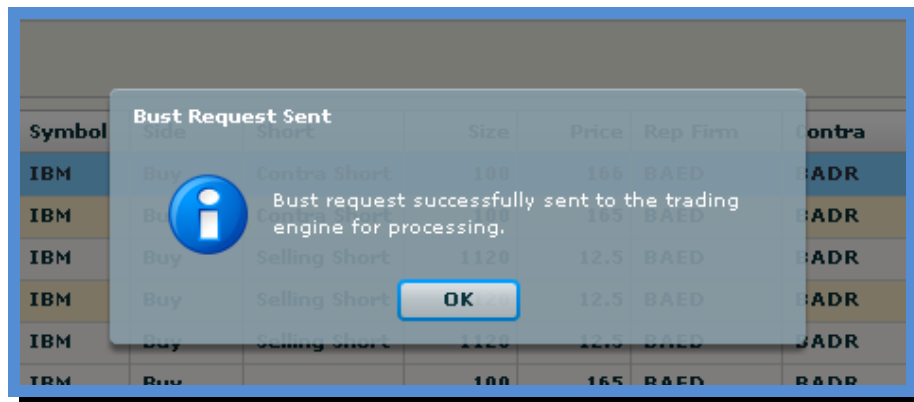
The screenshot shows a "Confirm Bust" dialog box with the following fields and values:

Are you sure you want to Bust the following report:			
Symbol:	IBM	Side:	Buy
Branch Seq:	oats 123		
CIOrdID:		Shares:	100
Price:	166		
OnBehalf:	ABCD.CMT	Rep Firm:	ABCD
Trade ID:	62		
Time:	11:00:00.000		

At the bottom right of the dialog box are "Yes" and "No" buttons. The background shows a table with trade data, including columns for Tape, Symbol, Side, and Shares.

Click "Yes" to proceed.

A confirmation pop up will follow:



Return to the Reports page to confirm that the bust has taken place:

A screenshot of a software interface showing a table of trade details. Above the table are two buttons: "Fix Selected" (with a folder icon) and "Bust Selected" (with a calendar icon). The table has columns: Status, Date, Reported, Executed, Tape, Symbol, Side, and Sh. The first row is highlighted in orange and shows a "Bust" status for IBM on 04/19/11 at 17:10:12.922, with an executed time of 11:00:00.000 and a "Clear Only" tape. The second row is highlighted in yellow and shows an "Add" status for IBM on 04/19/11 at 17:10:12.922, with an executed time of 11:00:00.000 and a "Clear Only" tape.

Status	Date	Reported	Executed	Tape	Symbol	Side	Sh
Bust	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Co
Add	04/19/11	17:10:12.922	11:00:00.000	Clear Only	IBM	Buy	Co

## XII. Bulk Busts

Customers are prohibited from busting trade reports in bulk on CMT. Customers may, however, provide written notification to TRF Operations , requesting that multiple reports be canceled by TRF Operations from the tape and/or audit trail, utilizing the CMT. This written request must be accompanied by an Excel Spreadsheet delineating each report to be busted, containing at minimum the following information:

1. Time of Execution and/or Submission
2. Side
3. Symbol
4. Size
5. Price
6. Contra
7. Br Sequence/OATS ID

The representative of the Reporting Firm making this request must also include the following in the body of the e-mail:

1. Full Name
2. Firm Name
3. Title
4. Phone Number
5. E-mail Address
6. Explanation of Circumstances for Request


After receiving such information, TRF Operations will forward the request to Finra for approval.

## XIII. As-Of Repairs and Reversals/Breaks

Customers are able to repair or reverse TRF reports that have occurred in the following time range:

- ✓ Reports marked with a Clearing Indicator of “**AGU**” or “**QSR N**” can be acted on within a maximum T+1 timeframe.

- ✓ All other reports may be repaired or reversed, from T-1 through T-365. However, beyond T-180, the customer is required to provide their own original report record for the sake of repairs or reversals.


**NYSE Euronext Client Management Tool - TRF**
Log Off
Change Password...

**TRF**

Reports (Current Day)
EOD Trade Report Chronicles
As-Of Repairs/Reversals
TRF Rejected Reports
FINRA Rejected Reports
Create Report
Bulk Bust
Summary Dashboard

Reported Date

20121030

Exec Date

20121030

Rep Firm

Branch Seq

Contra Branch Seq

Side

Symbol

Price

Trade Report Class

Tape

Short Sale

Contra

Volume

Clearing

Capacity Own

Capacity Contra

Trade Cat1

Trade Cat2

Trade Cat3

Trade Cat4

Fix Selected

Reverse Selected

Clear

Search

Date	Report Class	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra	OnBehalf	Sender	ClOrderID	Branch Seq	Cor

**TRF**

Reports (Current Day)
EOD Trade Report Chronicles
As-Of Repairs/Reversals

Reported Date

20121030

Exec Date

20121030

Contra Branch Seq

Side

Trade Cat1

Fix Selected

Reverse Selected

Date	Reported	Executed	Tape

## XIV. Message Flow for Previous Day Reversals

NYSE Euronext Client Management Tool - TRF

TRF

Reports (Current Day) As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports Create Report Bulk Bust Summary Dashboard

Exec Date: 20110817 Rep Firm: ABCD Branch Seq: Contra Branch Seq: Side: Symbol: Price: Trade Report Class: As-Of Tape: Yes Short Sale: Contra: Volume: Clearing: Capacity Own: Capacity Contra: Trade Cat1: @ (Regular) Trade Cat2: Trade Cat3: Trade Cat4:

Fix Selected Reverse Selected Clear Search

Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra	OnBehalf	Sender	ClOrder
08/18/2011	12:33:22	20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	344
08/18/2011	12:33:21	20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	343
08/18/2011	12:33:20	20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	342
08/18/2011	12:33:09	20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	341

Filter and select the report you wish to correct or reverse.

Confirm the report you are reversing and click “Yes”

Confirm As Of Reversal

Are you sure you want to Send in the As of Reversal for the following report:

Symbol:	XYZ	Side:	Buy	Branch Seq:	Q20110818
ClOrdID:	344	Shares:	100	Price:	30.000000
OnBehalf:	TRFTEST	Rep Firm:	ABCD	Contra:	DEFG
Trade ID:	TA110818000003d-0001		Time:	20110817-12:33:17	

Yes No

Verify the Reversal by searching under the Reports (Current Day) tab, and filtering for Trade Report Class “Reversal”:

Rep Firm: ABCD Status: Any  
Symbol: Price:  
Report Class: Reversal Tape: No  
Exec Time: 00:00:00 to 23:59:59 Report Time: 00:00:00 to 23:59:59  
Contra: Clearing:  
Trade Cat1: Trade Cat2:

Fix Selected Bust Selected

Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size
Fill	08/17/11	19:14:16.050	12:33:17.000	No	XYZ	Buy		100
Fill	08/17/11	16:06:25.682	12:33:04.000	No	XYZ	Sell		100
Fill	08/17/11	15:23:43.810	09:30:00.000	No	XYZ	Sell		100
Fill	08/17/11	15:21:21.079	09:30:00.000	No	XYZ	Sell		100

## XV. Message Flow for Previous Day Fixes

Find and select the message you wish to fix (as above). The following example screen will pop-up:

**Modify As of Report**

Tape Short Sale Contra

**Modify As Of Report**

**Trade Info**

Size 100 Price 30.000000 Contra DEFG

Clearing Indicator QSR clear Capacity Own Agency Capacity Contra Agency

Short Sale Reason Trade Type Cat 1 @ (Regular) Trade Type Cat 2

Trade Type Cat 3 Trade Type Cat 4

**Additional Details**

Branch Seq Q20110818 Contra Branch Seq Q20110818 Rep Firm ABCD

Execution Date 20110817 Execution Time 12:33:15 TT Exempt No

Price Override No Exec Firm Give Up Contra

Settlement Date

Submit Cancel/Clear Hide Additional



Select the field you wish to fix. In this case, we will increase the share size:



**Modify As Of Report**

Trade Info

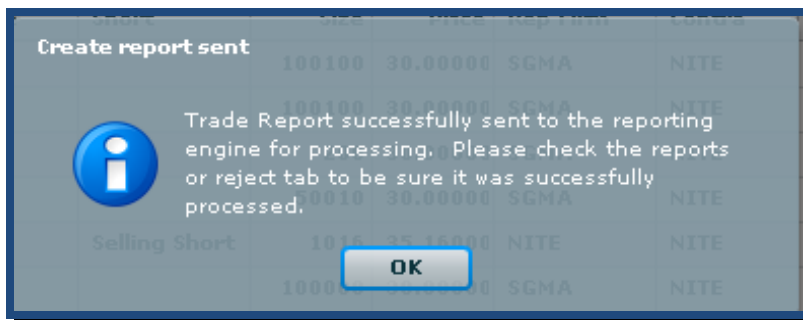
Size:

Clearing Indicator:

Short Sale Reason:

Trade Type Cat 3:

Submit the fix:



Create report sent

Trade Report successfully sent to the reporting engine for processing. Please check the reports or reject tab to be sure it was successfully processed.

OK

The TRF CMT engine will submit a reversal for the original QSR N report and issue a new report with the requested fix:

Rep Firm	<input type="text"/>	Status	Any	Branch Seq	<input type="text"/>	Contra Bra	
Symbol	<input type="text"/>	Price	<input type="text"/>	Volume	<input type="text"/>		
Report Class	<input type="text"/>	Tape	<input type="text"/>	Price Override	<input type="text"/>	Sh	
Exec Time	00 : 00 : 00	to	23 : 59 : 59	Report Time	00 : 00 : 00	to	23 : 59 : 59
Contra	<input type="text"/>	Clearing	<input type="text"/>	OnBehalf	<input type="text"/>	Repor	
Trade Cat1	<input type="text"/>	Trade Cat2	<input type="text"/>	Capacity Own	<input type="text"/>	Capacity	
Trade Cat3	<input type="text"/>	Trade Cat3	<input type="text"/>	Trade Cat3	<input type="text"/>	Trade	

Status	Report Class	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra
Fill	Reversal	08/17/11	14:14:20.614	12:33:15.000	No	XYZ	Sell		100	30.00000	ABCD	DEFG
Fill	As-Of	08/17/11	14:14:20.594	12:33:15.000	Yes	XYZ	Buy		150	30.00000	ABCD	DEFG

The reports page will feature both the Reversal (opposite side of original report) and the As-Of fix, as seen here

## XVI. EOD Trade Report Chronicles

CMT users have the capability of downloading their daily reporting activity as Reporting Firm or as Contra, using the EOD Trade Report Chronicle.

**Reporting Firm View** — Customers can query all Finra/NYSE TRF reports by a single Reporting Firm MPID. Total records are available with maximum 250,000 per file, downloadable to Excel. Data available going back six months.

NYSE Euronext Client Management Tool - TRF

TRF

Reports (Current Day) EOD Trade Report Chronicles As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports

Reporting Party Trade Journal Contra Party Trade Journal

Select Rep Firm Select Date Files to Download (5)

ABCD Report Date 20121025 1 of 5 Export to Excel

Clear Create Report

Total Records: (1061024)

Files to Download (5)

1 of 5 2 of 5 3 of 5 4 of 5 5 of 5

Export to Excel

**Contra Firm View** – Customers can query all Finra/NYSE TRF reports where their MPID is reported as contra party to a trade report. Total records available and maximum 250,000 per file, downloadable to Excel. Data available going back six months.

The screenshot displays the 'NYSE Euronext Client Management Tool - TRF' interface. At the top, there is a navigation bar with tabs for 'Reports (Current Day)', 'EOD Trade Report Chronicles', 'As-Of Repairs/Reversals', 'TRF Rejected Reports', and 'FINRA Rejected Reports'. Below this, there are two sub-tabs: 'Reporting Party Trade Journal' and 'Contra Party Trade Journal'. The 'Contra Party Trade Journal' tab is active, showing a search form. The form includes a 'Contra Firm' field with the value 'XXXX', a 'Select Date' section with 'Report Date' set to '20121031' and a calendar icon, and a 'Files to Download (1)' section showing '1 of 1' files and an 'Export to Excel' button. At the bottom of the form, there are 'Clear' and 'Create Report' buttons, and a status indicator showing 'Total Records: (31857)'.

## XVII. FINRA/NYSE TRF Clearing Definitions

Finra/NYSE TRF provides customers with several clearing and non-clearing options when reporting to the facility. Customer must designate whether their reports fall into one of the following clearing categories: Customer, QSR, QSR N, AGU Locked In, or Self-Clear.

### A. AGU Lock-In

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. AGU Lock-In reports are cleared directly to DTCC by the Finra/NYSE TRF

### B. QSR (Qualified Special Representatives)

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. QSR reports are treated as locked-in, non-clearing transactions.

### C. QSR N

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. QSR N reports are treated as locked-in, clearing eligible transactions. FINRA/NYSE TRF will report these transactions directly to DTCC on behalf of the customer.

### D. Customer

Non-clearing transaction, typically used for agency crosses, in which the Reporting Firm is also listed as the Contra on executions that will be assigned to an internal customer of the Reporting Firm.

### E. Self Clearing

The reporting firm is Self-Clearing the transaction.

## XVIII. Clearing/Non-Clearing Processing

### A. AGU Lock-In Behavior

When “busting” or “canceling/adjusting” a same day AGU Lock In report, TRF sends a trade “Break” message to Finra, which Finra in turn reverses on your behalf to DTCC; If you have elected to “Fix” the report, TRF then submits a new Trade Report on your behalf with the information you have provided on the rectified report. When making a previous day “bust” or “fix”, TRF will submit to Finra a “Reversal” message. Finra/NYSE TRF forwards to DTCC and, if the report is being “fixed”, TRF will submit to Finra an As-Of Trade Report with your specified changes to the original report, which Finra will then forward to DTCC on your behalf. Additionally, a prior-day cancel/as-of cancel/new Trade Report will be submitted to the appropriate tape plan as required.

\*\*\* PLEASE NOTE: AGU LOCK -INS may only be rectified on a maximum timeframe of T-1 through the TRF. You will need to make arrangements directly with DTCC for any changes to reports which were originally submitted T-2 or earlier. **Furthermore, any changes made directly with DTCC must also be rectified with the tape and Finra Audit Trail.**\*\*\*

### B. QSR Behavior

When “busting” or “canceling/adjusting” a same day QSR (non-clearing) report, TRF will submit to Finra a trade “Cancel” message and a new Trade Report (if applicable). Additionally, the Tape will be automatically rectified by the TRF. For previous day changes (fixes or busts), a reversal will be submitted to the Tape and to Finra, followed by a new As-Of trade report (if applicable).

### C. QSR N Behavior

When “busting” or “canceling/adjusting” a same day QSR N report, TRF will submit a “Cancel” message to the Tape and Finra, and then submit a Reversal record directly to DTCC on your behalf. A new Trade Report will be submitted on your behalf (if applicable). For previous day changes (fixes or busts), the same scenario will apply.

\*\*\* PLEASE NOTE: QSR N Reports may only be rectified on a maximum timeframe of T-1 through the TRF. You will need to make arrangements directly with DTCC for any changes to reports which were originally submitted T-2 or earlier. **Furthermore, any changes made directly with DTCC must also be rectified with the tape and Finra Audit Trail.**\*\*\*

#### **D. Customer/Self Clearing Behavior**

When “busting” or “canceling/adjusting” a same day Customer/Self Clearing report, TRF will submit to Finra a trade a “Cancel” message, and a new Trade Report (if applicable). Additionally, the Tape will be automatically rectified by the TRF. For previous day fixes or busts, a reversal will be submitted to the Tape and to Finra, followed by a new As-Of trade report (if applicable).

### **XIX. Summary Dashboard**

#### **A. Overview**

The Summary Dashboard is designed to provide TRF Reporting firms key information about their report flow at a glance, with the option of retrieving detailed information about any and all such reports which may be considered an “exception”

#### **B. Screen**

The Summary Dashboard can be accessed from the tab at the far right of your screen:

**NYSE Euronext Client Management Tool - TRF**

Log Off Change Password...

TRF

Reports (Current Day) As-Of Reports/Reversals TRF Rejected Reports FENRA Rejected Reports Create Report Bulk Report Summary Dashboard

Select Rep Firm: ABCD Refresh

**Trade Modifiers for SGMA**

Modifier	Count
C (Cash)	5
N (Next Day)	5
R (Rollar)	2
W (Avg. Price)	2
P (Prior Ref.)	3
JN (Optional)	3
F (FIFO)	3
4 (Deriv. Price)	3
Self Help	3
F (Inst. Sweep)	2
W (Stopped)	2
A (Acquisition)	2
S (Split Trade)	2
T (Cap Election)	1
JN (Patronized)	2
J (Indepency)	3
TRF Assigned sold	5
7 (Err. Connect)	1
8 (Err. Product)	2
9 (Regular)	18
V (Q-Contingent)	
T (Form T)	
U (Ext. sold)	
Z (Sold)	
D (Distribution)	

**Published for ABCD**

Current Date

Type	Type	Non-Type
As Of	2	1
Trade Report	12	
Bust		
Reversal		
Correction		

Previous Day

Type	Type	Non-Type
As Of	1	
Bust	1	3
Reversal		
Trade Report	18	
Correction		

**Clearing for ABCD**

Current Date

Type	QIR	Self-Clear	Customer	ASR Locked In	QIR Clear
As Of					1
Trade Report			12	2	2
Bust					
Reversal					
Correction					

Previous Day

Type	QIR	Self-Clear	Customer	ASR Locked In	QIR Clear
As Of					1
Bust			1		
Reversal				2	2
Trade Report			21	3	8
Correction					

**Riskless Principal for ABCD**

All Revisions Submitted Today

Type	Count
As Of	
Reversal	
Trade Report	
Bust	
Correction	

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A closer look at the categories:



Select Rep Firm:  

ABCD

Refresh

Trade Modifiers for ABCD

Modifier	Count
Z (Sold)	<a href="#">12</a>
U (Ext. Sold)	<a href="#">875</a>
F (ISO)	<a href="#">875</a>
4 (Deriv. Price)	<a href="#">22</a>
Self Help	<a href="#">12</a>
W (Stopped)	<a href="#">875</a>
A (Acquisition)	<a href="#">22</a>
D (Distribution)	<a href="#">12</a>
I (Cap Election)	<a href="#">12</a>
@ (Regular)	<a href="#">1011</a>
T (Form T)	<a href="#">22</a>

Published for ABCD

Current Date

Type	Tape	Non-Tape
Bust	<a href="#">172</a>	<a href="#">50</a>
Correction	<a href="#">105</a>	
Trade Report	<a href="#">156</a>	

Previous Day for ABCD

Type	Tape	Non-Tape
Bust	<a href="#">16</a>	<a href="#">13</a>
Correction	<a href="#">7</a>	
Reversal	<a href="#">80</a>	
Trade Report	<a href="#">9</a>	

Riskless Principal for ABCD


Type	count
Trade Report	<a href="#">150</a>
Bust	<a href="#">50</a>
Correction	<a href="#">10</a>
Reversal	<a href="#">150</a>
As Of	<a href="#">150</a>

Click on any number to link you to the reports contained therein. Your totals will automatically refresh every 30 seconds. Monitor by Trade Modifiers, Current and T-1 data, and Riskless Principal transactions.

You can also monitor your activity by clearing type and keep track of any changes you may have made during the day.

<b>Clearing for ABCD</b>					
Current Date					
Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	<a href="#">41</a>	<a href="#">32</a>	<a href="#">30</a>	<a href="#">90</a>	<a href="#">29</a>
Correction	<a href="#">32</a>	<a href="#">30</a>	<a href="#">43</a>		
Trade Report	<a href="#">53</a>	<a href="#">32</a>	<a href="#">32</a>	<a href="#">32</a>	<a href="#">7</a>
Previous Day					
Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	<a href="#">6</a>		<a href="#">1</a>	<a href="#">20</a>	<a href="#">2</a>
Correction		<a href="#">2</a>	<a href="#">5</a>		
Reversal				<a href="#">48</a>	<a href="#">32</a>
Trade Report	<a href="#">9</a>				

Additionally, you can easily track all of your intraday submitted revisions to same-day or as-of reports by clicking [here](#):



**All Revisions Submitted Today**

After clicking this button, you will be transferred to the Reports (Current Day) tab, automatically filtered for “All Revisions Resubmitted” for the corresponding MPID highlighted on the Summary Dashboard. Busts and adjusts on same day trades, reversals and corrections on an as-of basis, will all be visible here.

## XX. Support

Please contact the NYSE Arca Trade Desk at (888) 513-9873 for any questions regarding the Finra/NYSE TRF, or contact Chris Mazzacano directly at 312-442-7053

## XXI. Appendix

### A. Trade Category Key

**Trade Cat1:** @ (Regular), C (Cash), N (Next Day), R (Seller)

**Trade Cat2:** 4 (Deriv. Price), 7 (Err. Correct), 8 (Prt. Protect), F (Init. Sweep), F (ISO), J (Subpenny), Self Help, V (Q-Contingent)

**Trade Cat3:** T (Form T), U (Ext Sold), Z (Sold)

**Trade Cat4:** .RA (PxUnrelated), .RS (Option Ex), A (Acquisition), D (Distribution), I (Cap Election), P (Prior Ref), S (Split Trade), W (Avg. Price), W (Stopped)

## B. Tape Designation Key

<b>Yes:</b>	TRF report to Tape, executed OTC and printed as ADF.
<b>No:</b>	Non-tape report to Finra, executed OTC
<b>Related Markets:</b>	Nasdaq, NYSE, AMEX, BSX (Boston), BATS, BATSX, EDGA, EDGX, NSX (National), ISX, CHX (Midwest), PSE (NYSEArca), CBSX, Unknown, Unspecified, ACT, Nasdaq PSX, ADF, Foreign

## C. Clearing Indicators Key

<b>AGU Locked In:</b>	Reporting Firm has established AGU relationship with Contra and Finra; Finra/NYSE TRF will submit reports on behalf of Reporting Firm directly to DTCC.
<b>Customer:</b>	Clearing will be fulfilled by customer
<b>QSR:</b>	Reporting Firm has established QSR relationship with Contra and Finra; Contra must be Finra member; No clearing.
<b>QSR Clear:</b>	Reporting Firm has established QSR relationship with Contra and Finra; NYSE TRF will submit reports on behalf of Reporting Firm directly to DTCC.
<b>Self-Clear:</b>	Reporting Firm is a self-clearing participant.

## D. Report Status Key

<b>Any:</b>	All reports reflected within the selected parameters.
<b>Fill:</b>	Reports which have been accepted by Finra and reported to the tape (if Tape=Yes)
<b>Bust:</b>	Report which has been removed from Finra audit trail and the tape (if Tape=Yes)
<b>Adj:</b>	Original trade report which has since been modified.
<b>All Revisions Resubmitted:</b>	Busts, adjusts, reversals, and cancels combines in one report